



PATENT
Attorney Docket No. P1819USA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Brown et al.

Group Art Unit: 2131

Application No. 09/886,478

Examiner: Unassigned

Filed: June 20, 2001

For: VARIABLE TRUST LEVELS FOR
AUTHENTICATION

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

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Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is material, relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).
- or*
- ☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

Copies of the References

- ☒ Copies of the references listed on the enclosed Form 1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).
- ☒ Copies of two foreign search reports are enclosed herewith.
- ☒ The references Nos. 23, 25, and 26 listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status (<i>check one</i>)		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1. 09/335,443	June 17, 1999		X	
2.				
3.				

Statement under 37 CFR 1.97(e)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

Statement under 37 CFR 1.704(d)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Fees

- ☐ No fee is owed by the applicant(s).
- ☐ The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

Method of Payment of Fees

- ☐ Attached is a check in the amount of \$.
- ☐ Charge Deposit Account No. 07-0181 in the amount of \$. (A duplicate copy of this communication is enclosed for that purpose.)

Authorization to Charge Additional Fees

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 07-0181. (A duplicate copy of this communication is enclosed for that purpose.)



**CERTIFICATE OF MAILING
UNDER 37 CFR 1.8**

Date of Deposit: August 23, 2002

I hereby certify that the following Information Disclosure Statement along with its enclosures is being deposited with the United States Postal Services with sufficient postage as first class mail on the date indicated above, addressed to:

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Title: VARIABLE TRUST LEVELS FOR AUTHENTICATION

Inventor(s): Brown et al.

Application No.: 09/886,478

Filed: June 20, 2001

Enclosed:

1. Transmittal Form (1 pg)
2. Information Disclosure Statement (4 pgs) and duplicate thereof (4 pgs)
3. 1449 Form (2 pgs)
4. Copies of 25 Cited References
5. Return postcard

Irina L. Mikitiouk
Typed or Printed Name

I. Mikitiouk
Signature

Attorney Docket No. **P1819USA**
Client No. 083767-2

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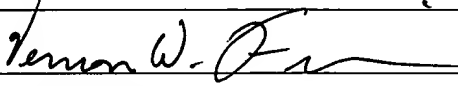
(to be used for all correspondence after initial filing)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/886,478
	Filing Date	June 20, 2001
	First Named Inventor	Bruce E. BROWN
	Group Art Unit	2131
	Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number P1819USA

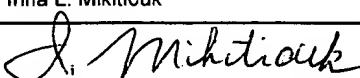
ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): 1449 Form; Copies of 25 Cited References; Certificate of Mailing under 37 CFR 1.8; Postcard
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Vernon W. Francissen, Reg. No. 41,762 Gardner Carton & Douglas
Signature	
Date	August 23, 2002

CERTIFICATE OF MAILING

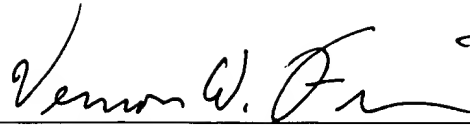
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date <u>August 23, 2002</u>			
Typed or printed name	Irina L. Mikitiouk		
Signature		Date	August 23, 2002

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CH02/22203394.1

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Date: August 23, 2002

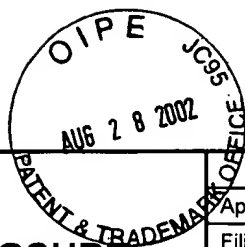
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Date: August 23, 2002



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Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number 09/886,478

Filing Date June 20, 2001

First Named Inventor Bruce E. BROWN

Group Art Unit 2131

Examiner Name Unassigned

Attorney Docket Number P1819USA

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U.S. PATENT DOCUMENTS

Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	1	5,390,247	A	Fischer	February 14, 1995	
	2	5,448,729	A	Murdock	September 5, 1995	
	3	5,606,609	A	Houser et al.	February 25, 1997	
	4	5,615,268	A	Bisbee et al.	March 25, 1997	
	5	5,659,616	A	Sudia	August 19, 1997	
	6	5,748,738	A	Bisbee et al.	May 5, 1998	
	7	5,872,848	A	Romney et al.	February 16, 1999	
	8	6,185,683	B1	Ginter et al.	February 6, 2001	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Doc. No.	Foreign Patent Document			Name of Patentee or Applicant	Date of Publication	Translation	
		Office	Application or Patent Number	Kind Code			Yes	No**
	9	EP	0 387 462	A1	IBM Corporation	September 19, 1990		
	10	EP	0 447 341	A2	IBM Corporation	September 18, 1991		
	11	WO	98/01807	A1	Polydoc N.V. et al.	January 15, 1998		
	12	WO	98/34167	A2	Webber	August 6, 1998		
	13	WO	00/62143	A1	iLumin Corporation	October 19, 2000		
	14	WO	00/62220	A1	iLumin Corporation	October 19, 2000		

OTHER - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation	
			Yes	No**
	15	ASAY, "Applying Information Technology to Court Case Files: Report of the Utah Electronic Filing Project," 1-16 (September 1994)		
	16	BATTLE et al., "Flexible Information Presentation with XML," <i>IEE Colloquium Multimedia Databases and MPEG-7</i> , GB, IEE, London, XP-002128574, 13/1-13/6 (January 29, 1999)		
	17	BURGESS ALLISON, "Technology Update," <i>Law Practice Management</i> (July/August 1997)		

Examiner Signature

Date Considered

* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

+ An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).

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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known			
		Application Number	09/886,478		
		Filing Date	June 20, 2001		
		First Named Inventor	Bruce E. BROWN		
		Group Art Unit	2131		
		Examiner Name	Unassigned		
Sheet	2	of	2	Attorney Docket Number	P1819USA

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FOREIGN PATENT DOCUMENTS								
Examiner Initials	Doc. No.	Foreign Patent Document			Name of Patentee or Applicant	Date of Publication	Translation	
		Office	Application or Patent Number	Kind Code			Yes	No**

OTHER - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation	
			Yes	No**
	18	CHIEF JUSTICE, Extract from the Honourable the Chief Justices' Response at the Opening of the Legal Year 1997, Web page: http://www.supcourt.gov.sg/speeches/cj970104.pdf , 4-6 (January 4, 1997)		
	19	EASTLAKE et al., "XML-Signature WG," Web page: http://www.w3.org/Signature/ , 1-4 (September 9, 1999)		
	20	"Electronic Filing System Brings Order to Mountains of Documents," <i>The Third Branch</i> , Web page: http://www.lectlaw.com/files/jud33.htm (February 1996)		
	21	GAHTAN, "E-Filing of Court Documents a Big Hit," Web page: http://www.gahtan.com/alan/articles/efile.htm (December 9, 1996)		
	22	HILLIS, "Electronic Court Filing," Web page: http://www.llrx.com/features/efiling.com , (October 1, 1997)		
	23	HILLIS, "Internet Experiments in Electronic Court Filing," Chapters 1-6, Web page: http://www.wolfenet.com/~dhillis/efile/toc/htm (October 6, 1997)		
	24	JAMES, "Electronic Filing," <i>Court Technology Bulletin</i> , 8 (3), Web page: http://www.ncsc.dni.us/ncsc/bulletin/v08n03.htm (May/June 1996)		
	25	MERRILL, "Toward a Paperless Federal Practice by the Year 2000," <i>New Jersey Lawyer Magazine</i> , 178, 10 (July/August 1996)		
	26	Utah Administrative Office of the Courts, Information Technology and Information Services, "Practitioner's Guide to Electronic Filing in Utah Courts," 1-63 (January 31, 1996)		
	27	Copy of International Search Report established for PCT/US00/09271		
	28	Copy of International Search Report established for PCT/US00/10066		

Examiner Signature		Date Considered	
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* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

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